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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **Eric Horvitz**
Serial No.: **09/982,306**
Filed: **October 17, 2001**
For: **SYSTEM AND METHOD FOR IDENTIFYING AND ESTABLISHING PREFERRED
MODALITIES OR CHANNELS FOR COMMUNICATIONS BASED ON PARTICIPANTS'
PREFERENCES AND CONTEXTS**
Art Unit: **2153**
Examiner: **Unknown**

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FEB 20 2002

Technology Center 2100

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: 09/809,142
Filing Date: 3/15/2001

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

(a) Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
(b) Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

(a) Within 3 months of the filing date or date of entry into the National Stage.
(b) Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.

(c) After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) The required certification is given below, or

(2) Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063.

(d) After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

(2) Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 50-1063.

4. Certification (if applicable)

(a) The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

AMIN & TUROCY, LLP

By 
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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 1/23/2002


Leslie A. Kuder

LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

FEB 13 2002

Applicant: Eric J. Horvitz

Filing Date:
October 17, 2001

Group: 2153

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

Examiner Initial		Document Number							Date	Name	Class	Subclass	Filing Date if Appropriate
	AA												
	AB												

FOREIGN PATENT DOCUMENTS

Examiner Initial		Document Number							Date	Country	Class	Subclass	Translation	
													Yes	No
	AC													

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	AD		Carlson, J., et al.; "Channel Expansion Theory and the Experiential Nature of Media Richness Perceptions". <u>Academy of Management Journal</u> , vol. 42, no. 2, April 1, 1999, p. 153-170
	AE		Horvitz, E., et al.; "Decision Theory in Expert Systems and Artificial Intelligence", <u>International Journal Of Approximate Reasoning</u> , July 1988, p. 1-39
	AF		Horvitz, E., et al.; "Attention-Sensitive Alerting". <u>Proceedings of UAI '99, Conference on Uncertainty and Artificial Intelligence</u> , July 1999, p. 305-313
EXAMINER			DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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